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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
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08/720,438

08/29/97

ROSENTH

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014208-1183

EXAMINER

TM02/0523

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ART UNIT	PAPER NUMBER
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2123

14

DATE MAILED: 05/23/01

*Final Amendment**Due: July 23, 2001**Appeal Due: August 23, 2001*

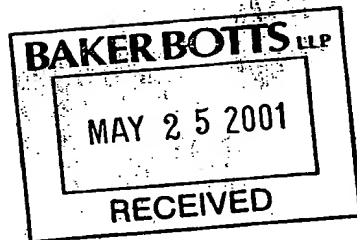
Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks

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MAY 08 2006

Technology Center 2100

Docket ☒ Wrapper ☒RVF Docketed N/A

Reference(s) _____



Application No.
08/920,433

Applicant(s)
Rosenthal

Examiner
William Thomson

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may not earn patent term adjustment. See 37 CFR 1.704(b).

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Status

1) ☒ Responsive to communication(s) filed on Feb 27, 2001

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2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.

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3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) 1-15 is/are pending in the application.

4a) Of the above, claim(s) _____ is/are withdrawn from consideration.

5) ☐ Claim(s) _____ is/are allowed.

6) ☒ Claim(s) 1-15 is/are rejected.

7) ☐ Claim(s) _____ is/are objected to.

8) ☐ Claims _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are objected to by the Examiner.
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119

13) ☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).

a) ☐ All b) ☐ Some* c) ☐ None of:

- 1. ☐ Certified copies of the priority documents have been received.
- 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
- 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

*See the attached detailed Office action for a list of the certified copies not received.

14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

Attachment(s)

- 15) ☒ Notice of References Cited (PTO-892)
- 16) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 17) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s). _____
- 18) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 19) ☐ Notice of Informal Patent Application (PTO-152)
- 20) ☐ Other:

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DETAILED ACTION

A. Summary of Prosecution:

1. Applicant has provided amendment to claims 1, 7, 9-10, and 13.
2. Claim 8 has been cancelled.
3. Applicant has amended the figures and specification.
4. Claims 1-7, 9-15 have been examined and rejected. THIS ACTION IS MADE FINAL.

B. Objections to the Specification and Claims:

Specification

5. The title of the invention is not descriptive. A new title is required that is clearly indicative of the invention to which the claims are directed. Specifically, the title is currently directed to a family of devices. Examiner does not agree and will change the title if there comes a time for allowance of the instant invention.
6. The amendment filed February 27, 2001 is objected to under 35 U.S.C. 132 because it introduces new matter into the disclosure. 35 U.S.C. 132 states that no amendment shall introduce new matter into the disclosure of the invention. The added material which is not supported by the original disclosure is as follows: all that is included within the amendments directed to both figures 8 and 9.

Applicant is required to cancel the new matter in the reply to this Office action.

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Drawings

7. The proposed drawing correction and/or the proposed substitute sheets of drawings, filed on February 27, 2001 have been disapproved because they introduce new matter into the drawings. 37 CFR 1.118 states that matter involving a departure from or an addition to the original disclosure cannot be added to the application after its filing date. The original disclosure does not support the subject matter as captioned within the flow charts and their relative implied functionality.

C. Claim Interpretation and Definitions

Preamble of the Claims

8. The preamble of the claims presented for examination have not been given patentable weight. Appropriate weight is given to limitations recited in the body of the claim that are needed for the purpose of antecedence. "A mere statement of purpose or intended use in the preamble of a claim need not be considered in finding anticipation; however, it must be considered if the language of a preamble is necessary to give meaning to the claim" *Diversitech Corp. v. Century Steps, Inc.*, 7 USPQ2d 1315 (Fed. Cir. 1988); *In re Stencel*, 4 USPQ2d 1071 (Fed. Cir. 1987)

Claim Interpretation

9. Examiner has given the broadest reasonable interpretation to the Applicant's claim language. As such, Examiner is providing a number of terms as defined in the art and used to

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interpret Applicant's claim language. Examiner is interpreting the following terms in light of the Applicant's specification and the well known definitions of the prior art teachings. An Applicant can be her own lexicographer. While applicant may be his or her own lexicographer, a term in a claim may not be given a meaning repugnant to the usual meaning of that term, *In re Hill*, 161 F.2d 367, 73 USPQ 482 (CCPA 1947). Examiner has used Applicant's definitions and those which are well know and accepted meanings in the art to provide a basis for the relevance of specific rejected limitations in view of prior art know made of record.

specification, limitations from the specification are not read into the claims. *In re Van Guens*, 988 F.2d 1181, 26 USPQ2d 1057 (Fed. Cir. 1993).

Definitions

Community: May be business, organization, association or any other type of grouping having a plurality of members. *Applicant's specification*.

Member: Members may be persons, animals, objects or any other type of item of a community. *Applicant's specification*.

Relationship: The state of being related or interrelated. The relation connecting or binding participants in a relationship. A state of affairs existing between those having relations or dealings. An association of information and/or data. *Webster's Collegiate Dictionary, 10th ed.*

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Assignment: The act of being assigned. A position, post , or office to which one is assigned. A special task or amount of work assigned or undertaken as if assigned by authority. Transfer of property. *Webster's Collegiate Dictionary, 10th ed.*

Access Privileges: Access privileges may be automatically granted base on the relationship when a relationship table is interrogated by an application that may activate an assignment. The assignment is approved then activated. The relationship and assignment provide the basis for the access level or privilege level. Limited access privileges may be a subset of access privileges of the administrative manager. Privileges may be varied for administrative and/or work assignment managers. Privileges, relationships and assignments are *stored. Applicant's specification*

Manager: A person responsible for the actions of a member within a group. Mangers may have disparate access privileges based on their position to access member information. Managers can change their position in the organization(s). Access privileges can also change. Mangers have various levels of access to member information based on their position in an organization(s). Manger is a user with different levels of access than other users. *Applicant's specification, Well Known in the Art.*

Disparate access privileges: Different relationships may provide the managers with disparate access privileges to records of members reporting to mangers. In a community a member may be

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administratively assigned to a position of an organization A and be work assigned to an additional position of another organization B. The member is reporting to two different managers in two different organizations. Manager A has administrative responsibility for the member, while Manager B has work assignment responsibility. Manager A has a higher level of access to the member's information than the access level afforded Manager B. A manager is a user of the system with specific access privileges. *Applicant's specification, Well Known in the Art.*

. D. CLAIM REJECTIONS -35 U.S.C. § 112

Claim Rejections - 35 U.S.C. § 112

10. *The following is a quotation of the first paragraph of 35 U.S.C. § 112:*

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

11. Claims 1-19 are rejected under 35 U.S.C. § 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention. Specifically, Applicant has not enabled "automatically providing...access privileges", as recited throughout claim 1, 7, 13, 16, 17, 18, and 19, within the teachings of the specification as filed. One of ordinary skill or the skilled artisan could not, with the teachings of Applicant's

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invention, reduce to practice this aspect without undue experimentation. Dependant claims inherit this defect.

The minimalist test for enablement is found within Applicants own specification. There is no teaching, only a broad accusation that it can perform this function. This is merely a neat concept without reduction or teaching of how to actually invoke an automatic system for enabling an access privilege. The skilled artisan or that person of ordinary skill level could not take the instant specification and reduce it to practice without actually inventing the system. As for the burden of proof it is shifted back to Applicant. There is no reasonable teaching within the specification as to how one could provide automatic access privileging. Automatically providing access privileges in a system such as Applicant is purposing is a tall bill to fill. If Applicant had reduced this to practice, perhaps they could provide an amount of coding to discharge their burden of showing that in fact they did have the invention in their hands at the time of the invention.

The limited flow charting with almost no written description is not effective for providing a proper reduction to practice and would require one of ordinary skill in the art to perform undo experimentations to facilitate applicant's claimed invention. Automatically providing access privileges are subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention. *In re Cortright*, 49 USPQ2d 1464 (Fed. Cir. 1999); *Gould v. Quigg*, 3, USPQ2d 1302 (Fed. Cir. 1987); *In re Glass*, 181 USPQ 31 (CCPA);

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In re Swinehart, 169 USPQ 226 (CCPA 1971); *In re Wright*, 9 USPQ2d 1649 (Fed. Cir. 1989);
In re Angstadt, 190 USPQ 214 (CCPA 1976); *In re Mayhew*, 527 F.2d 1229, 188 USPQ 356
(CCPA 1976).

F. FORMAL PRIOR ART REJECTION(s) and RESPONSES

Response to Arguments

12. Applicant's arguments filed February 27, 2001 have been fully considered. This response has been necessitated by Applicant's amendments and arguments. Applicant's arguments regarding the prior art of record are simply not persuasive.

Specific Response to Arguments and Amendments

13. The prior art explicitly teaches the user having multiple and disparate access privileges to data within an organization. Further, these privileges are changeable based on affiliations with the data and access need within the organization. The users, affiliations and access privileges can be grouped. Storage of the users information with disparate access privileges affiliated with work objects or data within an organization(s) seems to be what Applicant has claimed inventive.

There appears to be only two distinctions that Applicant has raised over the prior art teachings. The first is that the prior art references do not teach "automatically" providing access privileges. This is an interesting approach since neither does Applicant's specification. However, in the case of trying to delineate a difference based solely on "automatic" verses "manual" there is

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no patentable distinction between the them. In other words the mere automation of a manual process is not patentable by it self. Further, Applicant has not provided enablement for “automatically” providing access privileges. Second is the ability to assign members with multi-positions and the ability to reassign access rights. The prior art expressly teaches both these features. Neither of these issues provide any patentable distinction over the prior art teachings.

MPEP explicitly states: “A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability” and “An application should not be allowed , unless and until issues pertinent to patentability have been raised and resolved in the course of examination and prosecution, since otherwise the resultant patent would not justify the statutory presumption of validity (35 U.S.C. 282), nor would it “strictly adhere” to the requirements laid down by Congress in the 1952 Act as interpreted by the Supreme Court. The standard to be applied in all cases is the “preponderance of the evidence” test. In other words, an examiner should reject a claim if, in view of the prior art and evidence of record, it is more likely than not that the claim is unpatentable “ and “In rejecting claims for want of novelty or for obviousness, the examiner must cite the best references at his or her command. When a reference is *complex* or shows or describes inventions other than that claimed by the applicant, the particular part relied on must be designated as nearly as practicable. The pertinence

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of each reference, *if not apparent*, must be clearly explained and each rejected claim specified” Examiner does not believe this application raises to the level of “complex” especially knowing the Assignee’s relative level of experience in the field of computer access models.

Anticipation is a question of fact. *In re King*, 801 F.2d 324, 231 USPQ 136 (Fed. Cir. 1986). The inquiry as to whether a reference anticipates a claim must focus on what subject matter is encompassed by the claim and what subject matter is described by the reference. As set forth by the court in *Kalman v. Kimberly-Clark Corp.*, 713 F.2d 760, 218 USPQ 781, 789 (Fed. Cir. 1983), *cert. denied*, 465 U.S. 1026 (1984), it is only necessary for the claims to “read on” something disclosed in the reference, i.e., all limitations in the claim are found in the reference, or ‘fully met’ by it.” Where, as here, a reference describes a class of compositions, the reference must be analyzed to determine whether it describes a composition(s) with sufficient specificity to constitute an anticipation under the statute. See *In re Schaumann* 572 F.2d 312, 197 USPQ 5 (CCPA 1978). (reciting from: *Ex parte Lee*, BPAI at 31 USPQ2d 1105)

Examiner without any relevant evidence to the contrary had determined that the Applicant’s claims pending in the instant case were and are not patentable nor allowable over the prior art made of record. Applicant was charged with the duty to rebut and provide evidence in the contrary of the Examiner’s assertion of the prior art.

Examiner further addresses Applicant’s position regarding the multiple rejections directed to Claims 1-15. There is nothing precluding the assertion of multiple references against pending claims. In the instant case there were seven different references asserted. Examiner has made a

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prima facie case regarding the patentability of Applicant's claims as filed. Note that the level of skill is presumed to be at least one of ordinary skill. Applicant is presumed to have at least this level of knowledge of the art. The rejection was intentionally structured to recite 'clearly anticipated'. No more explanation was required presuming that Applicant was at least ones of ordinary skill level in the art. However, the Examiner did provide a detailed listing of relevant citations for each reference to help direct the Applicant to understand the depth and scope of their individual teachings.

As to the allegations of using a omnibus rejection, or piecemeal examination and use of a multiplicity of references, Examiner provides Applicant's representative with the following. Each claim is clearly anticipated by each and every reference asserted. On the face and with a minimal amount of diligence, Appellants' representative should have been able to ascertain the relevance of each and every reference. Examiner only provided a very small subset of all the references that anticipate (whether clearly or not) every claim as presented within Applicants' application.

To restate the obvious "examiner is not called upon to cite all the references that may be available, but only the best.." Examiner used only a subset of the "best" references since they clearly anticipate all of Appellants' claimed limitations. Examiner did not cite "all the references that may be available", only five out of many more possible references. Specifically, Examiner did not cite any of the articles from a number of symposiums on role-based access or the military specifications that directly relate to the instant invention. A mere sampling of either family of specifications or articles would clearly anticipate all of the Appellants' independent claims and

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many of their dependencies. The breath of which Appellants have drafted their claim language can be reasonably interpreted to be anticipated by many different publications and patents. Examiner provided only a reasonably small grouping of prior art that clearly anticipates both the instant invention and the claimed invention.

Claim 1, recites nothing more than providing a user with access to data based on stored affiliations with groupings for associated user privileges or access levels. This is nothing more than associating which data files a specific user has access privileges to, allowing this relationship to be reassigned and providing different levels of access to different data based on the associations between users and data. In simpler terms, a standard well known and off the shelf access privilege setting scheme that has been in existence for decades. A access control system based on users positions within an organization relationship to allowed data is within the scope of this claim.

Examiner believes that Applicants are most probably attempting to cover “user-role” or “role-based” access control for a distributed system, however have fallen far short of actually claiming such an invention. Again, these systems are well known and are herewith asserted as prior art teachings of such systems. Examiner has provided a supporting reference to show what is designed into a functioning RBAC (role based access control) system. (Workshop Summary from the Proceedings of the First ACM Workshop on Role-Based Access Control, December 1995, hereafter referred to as *Workshop*)

Applicant is solving the same problem with the same technology in the same manner as the prior art. There is not an inventive step when all that is claimed is that which is well known and

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inherent in the art. Applicant's invention and Howell et al. perform the same functions and operations with the same equipment. This teachings provides for different settings of access privileges for users, members and groups with affiliations between the user and the object or data.

Applicant has not provided any effective argument as to any patentable distinction, improvement or unexpected result that might occur over the prior art teachings when Applicant's method of providing different access privileges to different users based on affiliations than that which are built into the prior art teachings. Applicant appears to believe the novelty is within the ability of the system to store and change data relating to providing changeable access privileges to different users with varying levels of access. This is merely using the well known tool of the trade for its specific purpose. The courts have held that "A reference anticipates a claim if it discloses the claimed invention such that a skilled artisan could take its teachings in combination with his own knowledge of the particular art and be in possession of the invention." *In re Graves*, 36 USPQ2d 1697 (Fed. Cir. 1995); *In re Sase*, 207 USPQ 107 (CCPA 1980); *In re Samour*, 197 USPQ 1 (CCPA 1978).

Within the prior art teachings, the privilege levels of users, members, groups or manager users can be changed. A manager user can be afforded access rights a one level to one set of data and also be afforded different access rights to a second set of data. Users can be afforded different access levels to different data within different or the same system. In general Applicants are merely attempting to claim setting access privileges based on a business organizational chart. Applicants have vialled the standard multilevel group, membership and user access privilege

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system in the cloak of business method. This is merely setting labels to specific users. A manger is a user with different levels of access relative to others in the organization. The ability to transfer access or membership is built into security systems. In fact, in general most systems do not want this feature available to the user so that data may be compartmented and secured. There can be afforded no patentable weight when the distinction is merely a label or specific use for a well known method, system, apparatus or processes.

Applicant is reminded that a recitation of the intended use of the claimed invention must result in a **structural difference** between the claimed invention and the prior art in order to patentably distinguish the claimed invention from the prior art. If the prior art structure is capable of performing the intended use, then it meets the claim. In a claim drawn to a process of making, the intended use must result in a manipulative difference as compared to the prior art. *In re Casey*, 152 USPQ 235 (CCPA 1967); *In re Otto*, 136 USPQ 458, 459 (CCPA 1963). The components and their operations, as taught within the prior art teachings are functional equivalents, identical in operation and provide inherent operations that have an inevitable presence and are well known in the art. *In re Bond*, 15 USPQ2d 1566 (Fed. Cir. 1990), *In re Robertson*, 49 USPQ2d 1949 (Fed. Cir. 1999)

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Claim Rejections - 35 U.S.C. § 102

14. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

(e) the invention was described in a patent granted on an application for patent by another filed in the United States before the invention thereof by the applicant for patent, or on an international application by another who has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention thereof by the applicant for patent.

15. Claims 1-19 are rejected under 35 U.S.C. § 102(b) as being clearly anticipated by Rabitti et al. or Baldwin or Demurjian et al. or Abraham et al.(903) or Howell et al. et al. and rejected under 35 U.S.C. § 102(e) as being clearly anticipated by Deinhart et al. or Barkley. *Workshop* reference is provided to give support for the underlying design requirements for these role or user based access systems, and incorporated into this rejection.

Taking claim 1, for example, Rabitti et al. and Baldwin and Demurjian and Abraham et al.(903) and Deinhart et al. and Barkley and Howell et al. et al. disclose:

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Rabitti et al.: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies

Baldwin: Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128

Demurjian et a.: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.

Abraham et al.(903): Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.

Deinhart et al.: Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq, col. 9, lines 38 et seq.

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Barkley: Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.

Howell et al. et al.: Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.

A method of providing access privileges to records of members of a community,

comprising

storing an assignment of a member of a community to a first position in the community to generate a first relationship;

automatically providing a manager of the first position with access privileges to records of the member based on the first relationship;

storing an additional assignment of the member to a second position in the community to generate a second relationship; and

during pendency of the additional assignment, automatically providing a manager of the second position with disparate access privileges to records of the member based on the second relationship.

As to claim 2, the method of Claim 1, wherein the manager of the second position has access privileges to records of the member is taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Howell et al. et

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al.(**Rabitti et al.**: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin**: Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et a.**: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et al.(903)**: Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.**: Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq, col. 9, lines 38 et seq.; **Barkley**: Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.**: Title, Abstract, Figures 2, 3, flow chart

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in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

As to claim 3, the method of Claim 1, wherein the manager of the first position has access privileges to administrative records of the member denied to the manager of the second position is taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Howell et al. et al. (**Rabitti et al.**: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin**: Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et a.**: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et al.(903)**: Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.**: Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art,

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Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq., col. 9, lines 38 et seq.; **Barkley**: Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.**: Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

As to claim 4, the method of Claim 1, wherein the additional assignment comprises a term work assignment is taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Howell et al. et al. (**Rabitti et al.**: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin**: Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et a.**: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et**

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al.(903): Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.:** Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq., col. 9, lines 38 et seq.; **Barkley:** Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.:** Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

As to claim 5, the method of Claim 1, wherein the community comprises a business member comprises an employee of the business is taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Caruso et al. (**Rabitti et al.:** Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin:** Title, Abstract, Introduction, sections entitled: Groups Object Privileges and

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Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et al.**: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et al.(903)**: Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.**: Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq, col. 9, lines 38 et seq.; **Barkley**: Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.**: Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

As to claim 6, the method of Claim 1, wherein the records comprise personnel records of the member is taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Howell et al. et al.(**Rabitti et al.**: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of

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Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin**: Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et al.**: Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et al.(903)**: Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.**: Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq, col. 9, lines 38 et seq.; **Barkley**: Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects 20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.**: Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

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Claims 7, 9-19 are rejected based on the same reasoning as claims 1-6, *supra*. Claims 7, 9-19 claim the same limitations as claims 1-6 and taught throughout Rabitti et al. and Baldwin and Demurjian and Abraham et al. (903) and Deinhart et al. and Barkley and Howell et al. et al.

(Rabitti et al.: Abstract, sections entitled: Instruction, 2.2 Intuitive Overview of the Basic Authorization Concepts, 3 Implication Rules, Figures 7-9 with related text, 3.3 Authorization Objects, 3.3.2 Association of Authorization Types with Authorization Objects, 3.3.4 Rules for Computing Implicit Strong Authorizations, 4 Implicit Authorizations for Object-Oriented and Semantic Modeling Concepts, 5 Implementation Considerations, 5.1 Role Lattice, 5.2 , 5.2.2 Access Strategies; **Baldwin:** Title, Abstract, Introduction, sections entitled: Groups Object Privileges and Individuals, page 119, Managing Changes to the Security Configuration, Aspects of security administration, page 120, pages 121-128; **Demurjian et a.:** Title, Abstract, Figures 1-3, sections entitled: 1. Introduction and Motivation, 2.1 An Object-Oriented Design Model, 2.3 A User-Role Definition Hierarchy, 2.3 Method Assignment, 3 The URDH and Application Analysis, pages 198-202.; **Abraham et al.(903):** Title, Abstract, Figures 2-15, Summary of the Invention, Detailed Description of Preferred Embodiments, col. 9, lines 25 et seq., col. 19, lines 8 et seq.; **Deinhart et al.:** Title: Method and System for Advanced Role-Based Access control in Distributed and Centralized Computer Systems, Abstract, Figures 1, 2A-2C, 3A-3B, 5, 6 and 7, Description of Prior Art, Summary of the Invention, col. 6, lines 65 et seq., col. 7, lines 16 et seq., col. 8, lines 53 et seq, col. 9, lines 38 et seq.; **Barkley:** Title: Workflow Management Employing Role-Based Access Control, Abstract, Figure 1 (prior art) and 2, users 26, user ID 28, Subjects

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20, roles 30, operations 32, Background of the Invention, Description of the Preferred Embodiments, col. 5, lines 55 et seq.; **Howell et al. et al.**: Title, Abstract, Figures 2, 3, flow chart in figure 4, col. 2, lines 35 et seq., col. 4, lines 24 et seq., col. 5, lines 23 -55, col. 6, lines 17 et seq., allows for changes in user and group membership access within the organization.)

Conclusion

16. The prior art made of record and not relied upon is considered pertinent to Applicant's disclosure is listed on the attached PTO 892, careful consideration should be given prior to Applicant's response to this Office Action.

17. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 C.F.R. § 1.136(a)

A SHORTENED STATUTORY PERIOD FOR RESPONSE TO THIS FINAL ACTION IS SET TO EXPIRE THREE MONTHS FROM THE DATE OF THIS ACTION. IN THE EVENT A FIRST RESPONSE IS FILED WITHIN TWO MONTHS OF THE MAILING DATE OF THIS FINAL ACTION AND THE ADVISORY ACTION IS NOT MAILED UNTIL AFTER THE END OF THE THREE-MONTH SHORTENED STATUTORY PERIOD, THEN THE SHORTENED PERIOD WILL EXPIRE ON THE DATE THE ADVISORY ACTION IS MAILED, AND ANY EXTENSION FEE PURSUANT TO 37 C.F.R. § 1.136(a) WILL BE CALCULATED FROM THE MAILING DATE OF THE ADVISORY ACTION. IN NO

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EVENT WILL THE STATUTORY PERIOD FOR RESPONSE EXPIRE LATER THAN SIX MONTHS FROM THE DATE OF THIS FINAL ACTION.

18. Any inquiry concerning this communication or earlier communications from the examiner should be directed to William Thomson whose telephone number is (703) 305-0022. The examiner can be usually reached between 9:30 a.m. - 4:00 p.m. Monday thru Friday. Voice mail is checked throughout the day. Please leave a detailed message.

If attempts to reach the Examiner by telephone are unsuccessful, the Examiner's supervisor, Mr. Kevin Teska, can be reached on 704-305-9704. The fax phone number for this Group is 703-308-1396.

Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is 703-305-3900.

William D. Thomson

Patent Examiner
A.U. 2123
May 19, 2001



KEVIN J. TESKA
SUPERVISORY
PATENT EXAMINER